

Express Mail Label No.

Dated: \_\_\_\_\_

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE****DECLARATION FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is described and claimed and for which a patent is sought on the invention entitled:

**STRUCTURE AND METHOD FOR CREATING  
TRADEABLE FINANCIAL UNITS**

the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment, if any, specifically referred to herein. I do not know and do not believe that the same was ever known or used in the United States of America before my or our invention thereof or patented or described in any printed publication in any country before my or our invention thereof, or more than one year prior to this application, or in public use or on sale in the United States of America more than one year prior to this application, that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigned more than twelve months prior to this application.

I acknowledge the duty to disclose all information known to me that is material to patentability in accordance with Title 37, Code of Federal Regulations, § 1.56.

**FOREIGN PRIORITY CLAIM**

I hereby claim foreign priority benefits under Title 35, United States Code § 119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

☒ no such foreign applications have been filed

☐ such foreign application have been filed as follows:

Attorney Docket No.: 20107/1200838-US1

**EARLIEST FOREIGN APPLICATION(S), IF ANY FILED WITHIN 12 MONTHS  
(6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION**

Application Number	Country	Date of Filing	Priority Claimed Under 35 USC 119
			___ Yes No ___
			___ Yes No ___
			___ Yes No ___

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(6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION**

Application Number	Country	Date of Filing

**CLAIM FOR BENEFIT OF EARLIER U.S. PROVISIONAL APPLICATIONS**

I hereby claim priority benefits under Title 35, United States Code §119(e), of any United States provisional patent application(s) listed below:

- ☐ no such U.S. provisional applications have been filed.
- ☒ such U.S. provisional application have been filed as follows:

Application Number	Date of Filing	Priority Claimed Under 35 USC 119
60/539,526	January 26, 2004	<u>  x  </u> Yes No ___
		___ Yes No ___
		___ Yes No ___

**CLAIM FOR BENEFIT OF EARLIER U.S./PCT APPLICATION(S)**

I hereby claim the benefit under Title 35, United States Code, §120 of the United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose all information that is material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56 which became available to me between the filing date of the prior application and the national or PCT international filing date of this application:

Attorney Docket No.: 20107/1200838-US1

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Application Number	Date of Filing	Status (Patented/Pending/Abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint the practitioners under Customer Number

07278

jointly, and each of them severally, my attorneys at law/patent agent(s), with full power of substitution, delegation and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, and to transact all business in the U. S. Patent and Trademark Office connected therewith.

Please mail all correspondence to Melvin C. Garner, whose address is:

Darby & Darby P.C.  
P.O. Box 5257  
New York, New York 10150-5257

Please direct telephone calls to: Melvin C. Garner at (212) 527-7717.

Please direct facsimiles to: (212) 753-6237

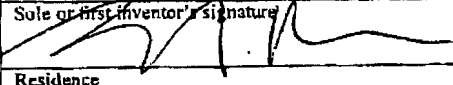
Apr 28 04 04:09p

Jessica Rotman

416-483-5287

P. 1

Attorney Docket No.: 20107/1200838-US1

Full name of sole or first inventor <b>Earl Rotman</b>	
Sole or first inventor's signature 	Date <b>Apr 28/04</b>
Residence <b>Toronto, Canada</b>	
Citizenship <b>Canada</b>	
Mailing Address <b>87 Old Forest Hill Road Toronto, Ontario M5P 2R6 CANADA</b>	

Full name of second inventor, if any <b>William S. Schreier</b>	
Second inventor's signature	Date
Residence <b>New York, New York</b>	
Citizenship <b>US</b>	
Mailing Address <b>141 East 88th Street New York, New York 10128</b>	

Full name of third inventor, if any <b>Jeffrey Berson</b>	
Third inventor's signature	Date
Residence <b>Mamaroneck, New York</b>	
Citizenship <b>US</b>	
Mailing Address <b>27 Stonewall Lane Mamaroneck, New York 10543</b>	

Full name of fourth inventor, if any	
Fourth inventor's signature	Date
Residence	
Citizenship	
Mailing Address	

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## CLAIM FOR BENEFIT OF EARLIER U.S. PROVISIONAL APPLICATIONS

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		<u>      </u> Yes No <u>      </u>
		<u>      </u> Yes No <u>      </u>

## CLAIM FOR BENEFIT OF EARLIER U.S./PCT APPLICATION(S)

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Attorney Docket No.: 20107/1200838-US1

Full name of sole or first inventor <b>Earl Rotman</b>	
Sole or first inventor's signature	Date
Residence <b>Toronto, Canada</b>	
Citizenship <b>Canada</b>	
Mailing Address <b>87 Old Forest Hill Road Toronto, Ontario M5P 2R6 CANADA</b>	

Full name of second inventor, if any <b>William S. Schreier</b>	
Second inventor's signature <i>William S. Schreier</i>	Date <b>4/27/2004</b>
Residence <b>New York, New York</b>	
Citizenship <b>US</b>	
Mailing Address <b>141 East 88th Street New York, New York 10128</b>	

Full name of third inventor, if any <b>Jeffrey Berson</b>	
Third inventor's signature	Date
Residence <b>Mamaroneck, New York</b>	
Citizenship <b>US</b>	
Mailing Address <b>27 Stonewall Lane Mamaroneck, New York 10543</b>	

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Fourth inventor's signature	Date
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Citizenship	
Mailing Address	



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		Yes No

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{W:20107/1200838us1/00162297.DOC [REDACTED] }

Attorney Docket No.: 20107/1200838-US1

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Attorney Docket No.: 20107/1200838-US1

Full name of sole or first inventor	
Earl Rotman	Date
Sole or first inventor's signature	
Residence	
Toronto, Canada	
Citizenship Canada	
Mailing Address	
87 Old Forest Hill Road	
Toronto, Ontario M5P 2R6	
CANADA	

Full name of second inventor, if any	
William S. Schreier	Date
Second inventor's signature	
Residence	
New York, New York	
Citizenship US	
Mailing Address	
141 East 88th Street	
New York, New York 10128	

Full name of third inventor, if any	
Jeffrey Berson	Date 4/28/04
Third inventor's signature	
Residence	
Mamaroneck, New York	
Citizenship US	
Mailing Address	
27 Stonewall Lane	
Mamaroneck, New York 10543	

Full name of fourth inventor, if any	
Fourth inventor's signature	
Date	
Residence	
Citizenship	
Mailing Address	

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TOTAL P.06